



# TRANSMITTAL FORM

(for all correspondence after initial filing)

Agent's Docket  
No.

ONX-108/CIP

Total Pages

Application Number

09/812,066

Filing Date

03/17/2001

First Named Inventor

MICHAEL DANEMAN

Group Art Unit

2873

Examiner

NOT YET ASSIGNED

## ENCLOSURES (check all that apply)

☒ Copy of Notice to File Missing Parts

☒ Return Receipt Postcard (MPEP 503)

☒ Fee Transmittal Form

☒ Fee Attached

☐ Response/Amendment

☐ After Final Rejection

☐ After Allowance communication to Group

☐ with Formal Drawing(s) Total Sheets: ☐

☐ with Affidavits/Declarations

☒ Petition for Extension of Time (1 month)

☐ Express Abandonment Request

☒ Applicant claims Small Entity Status

☒ Declaration by Inventors (2 pages)

☒ Assignment papers

☒ Recordation Cover Sheet (1 page)

☒ Assignment (4 pages)

☒ Power of Attorney by Assignee (1 page)

☒ with CFR 3.73(b) statement (1 page)

☒ IDS/PTO-1449

☒ with copies of cited references

☐ New Power of Attorney and Revocation of Old

☐ Change of Correspondence Address

☒ Other: twenty-six (26) sheets of formal substitute  
drawings

Communication to Official Draftsperson

## 20. CORRESPONDENCE ADDRESS

NAME

CUSTOMER NO.: 27652

☒ BAR CODE LABEL

JOSHUA D. ISENBERG  
JDI PATENT



ATTACH BAR CODE  
LABEL 27652  
PATENT TRADEMARK OFFICE

ADDRESS

204 CASTRO LANE

CITY

FREMONT

STATE

CA

ZIP CODE

94539

COUNTRY

USA

TELEPHONE

(510) 896-8328

FAX

(510) 360-9656

## SIGNATURE OF AGENT

NAME

JOSHUA D. ISENBERG, REG. NO. 41,088

Signature

Date

7/25/2001

## Certificate of Mailing by "EXPRESS MAIL"

I HEREBY CERTIFY THAT THIS CORRESPONDENCE IS BEING DEPOSITED WITH THE UNITED STATES POSTAL SERVICE AS FIRST CLASS MAIL ON THE DATE INDICATED BELOW AND IS ADDRESSED TO: "ASSISTANT COMMISSIONER FOR PATENTS, WASHINGTON, DC 20231."

SIGNATURE

DATE OF MAILING

7/25/2001

EXPRESS MAIL LABEL NO:

ET 102224953 US

Joshua D. Isenberg  
NAME OF PERSON SIGNING


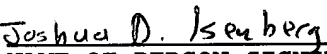


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Agent's Docket: ONX-108/CIP

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application Number: 09/812,066  
Filing Date: 03/17/2001  
Applicant: Behrang Behin et al  
Application Title: THREE DIMENSIONAL OPTICAL SWITCHES  
AND BEAM STEERING MODULES  
Examiner: Not Yet Assigned  
Art Unit: 2873

Certificate of Mailing by "EXPRESS MAIL"	
I hereby certify that I am mailing this correspondence on the date indicated below to the ASSISTANT COMMISSIONER FOR PATENTS, WASHINGTON, DC 20231 using the "Express Mail Post Office to Addressee" service of the United States Postal Service under 37 CFR 1.10.	
 SIGNATURE	DATE OF MAILING 7/25/2001
	EXPRESS MAIL LABEL NO: ET102224953US
 NAME OF PERSON SIGNING	

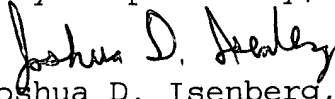
COMMUNICATION TO THE OFFICIAL DRAFTSPERSON

Commissioner of Patents and Trademarks  
Washington, DC 20231

Dear Sir:

In response to the Notice to File Missing parts mailed May 22, 2001, in the above referenced application, kindly enter the attached twenty-six (26) sheets of formal substitute drawings in the application.

Very respectfully,

  
Joshua D. Isenberg,  
Reg. No. 41,088  
JDI PATENT  
204 Castro Lane  
Fremont, CA 94539  
Agent of record



## FEE TRANSMITTAL

Application Number:	09/812,066
Filing Date:	03/17/2001
First Named Inventor:	Behrang Behin
Title of Invention:	Three Dimensional Optical Switches and Beam Steering Modules
Group Art Unit:	2873
Examiner:	Not assigned
Attorney Docket No.:	ONX-108/CIP

### Fee Calculation:

for ☐ Large Entity / ☒ Small Entity.

#### Basic Billing Fee:

<input checked="" type="checkbox"/> Utility Patent Application:	\$710 / \$355	\$ 355
<input type="checkbox"/> Provisional Patent Application:	\$150 / \$75	\$

#### Claims:

<input checked="" type="checkbox"/> Number of Total Claims Over 20: [ 97 ]	x \$18 / \$9 =	\$ 873
<input checked="" type="checkbox"/> No. of Independent Claims Over 3: [ 2 ]	x \$80 / \$40 =	\$80

#### Other Fees:

<input checked="" type="checkbox"/> Extension of time, 1 month	\$110 / \$55	\$ 55
<input type="checkbox"/> Extension of time, 2 months	\$380 / \$190	\$
<input type="checkbox"/> Extension of time, 3 months	\$870 / \$435	\$
<input type="checkbox"/> Extension of time, 4 months	\$1360 / \$680	\$
<input checked="" type="checkbox"/> Missing Parts Surcharge (Regular Application)	\$130 / \$65	\$65
<input type="checkbox"/> Missing Parts Surcharge (Provisional Application)	\$50 / \$25	\$
<input checked="" type="checkbox"/> Recordation of Assignment Document	\$40	\$ 40
<input type="checkbox"/> Issue Fee	\$1210 / \$605	\$
<input type="checkbox"/> Printed Patent; Number of Copies: [ ]	x \$3 =	\$

**TOTAL PAYMENT:**

**\$ 1468**

### Method of Payment:

☒ Payment Enclosed  
☒ Check

### Signature of Applicant, Attorney, or Agent

Joshua D. Isenberg  
Joshua D. Isenberg, Reg. No. 41,088

7/25/2001  
Date

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Joshua D. Isenberg  
SIGNATURE

DATE OF MAILING 7/25/2001

Joshua D. Isenberg  
NAME OF PERSON SIGNING

EXPRESS MAIL LABEL NO: ET102224953US

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UNITED STATES PATENT AND TRADEMARK OFFICEPage 1 of 2  
11/1/01  
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COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/812,066	03/17/2001	Berhang Behin	ONX-108/CIP

27652  
JOSHUA D. ISENBERG  
204 CASTRO LANE  
FREMONT, CA 94539

CONFIRMATION NO. 9000

## FORMALITIES LETTER



\*OC00000006104492\*

Date Mailed: 05/22/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

## Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 355 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$953.
  - \$873 for 97 total claims over 20.
  - \$80 for 2 independent claims over 3.
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 1373.

The application is informal since it does not comply with the regulations for the reason(s) indicated below.


The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. ( 5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);
  - drawings submitted to the Office are not electronically reproducible. Drawing

sheets must be submitted on paper which is flexible, strong, white, smooth, non-shiny, and durable (see 37 CFR 1.84(e));

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*A copy of this notice MUST be returned with the reply.*



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Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

09812066.072501



## STATEMENT UNDER 37 CFR 3.73(b)

Applicant: Behrang Behin, et alApplication No.: 09/812,066, Filed: March 17, 2001Entitled: **Three Dimensional Optical Switches and Beam Steering Modules**

**ONIX MICROSYSTEMS, INC.**, a corporation,  
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. the assignee of the entire right, title, and interest; or
2. an assignee of an undivided part interest in the patent application/patent identified above by virtue of either:

A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_  
To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

2. From: \_\_\_\_\_  
To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

3. From: \_\_\_\_\_  
To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.  
☐ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the PTO. See MPEP 302-302.8]

The undersigned (whose title is supplied below) is empowered to sign this statement on behalf of the assignee.

7/23/01  
Date

[Signature]  
Signature

VP Engn  
Title

Jim Hood  
Typed or printed name